Page 1 of 13

HOV 2 8 2003

Atty. Docket No.: H0004788 (1139.1138101)

Serial No.: 10/607,758

LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION
DISCLOSURE STATEMENT

Applicant: Jae-Hyun Ryou et al.

Filing Date: June 27, 2003

Group Art:

282

#### U.S. PATENT DOCUMENTS

•		U.S. FA1	ENI DOCUMENTS			
Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
TN	US2001/0004414 A1	06/21/2001	Kuhn et al.			/
	US2002/0154675 A1	10/24/2002	Deng et al.			
	US2003/0072526 A1	04/17/2003	Kathman et al.			
	4,317,085	02/23/1982	Brunham et al.			/
	4,466,694	08/21/1984	MacDonald			
	4,660,207	04/21/1987	Svilans			- /
	4,675,058	06/23/1987	Plaster			
	4,784,722	11/15/1988	Liau et al.			
	4,885,592	12/05/1989	Kofol et al.			-
	4,901,327	02/13/1990	Bradley	-		1
	4,943,970	07/24/1990	Bradley			
	4,956,844	09/11/1990	Goodhue et al.			
	5,031,187	07/09/1991	Orenstein et al.			
	5,052,016	09/24/1991	Mahbobzadeh			
	5,056,098	10/08/1991	Anthony et al.			-
	5,062,115	10/29/1991	Thornton			
	5,068,869	11/26/1991	Wang et al.			
	5,079,774	01/07/1992	Mendez et al.			
	5,115,442	05/19/1992	Lee et al.		/	
	5,117,469	05/26/1992	Cheung et al.			
	5,140,605	08/18/1992	Paoli et al.			
	5,157,537	10/20/1992	Rosenblatt et al.			
	5,158,908	10/27/1992	Blonder et al.	/		
	5,212,706	05/18/1993	Jain	1/		

HOV 2 8 2023

Atty. Docket No.: H0004788 (1139.1138101) Serial No.: 10/607,758

Page 2 of 13

LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT

Applicant: Jae-Hyun Ryou et al.

Filing Date: June 27, 2003 Group Art:

Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
TN	5,216,263	06/01/1993	Paoli			/
	5,216,680	06/01/1993	Magnusson et al.			
	5,237,581	08/17/1993	Asada et al.			/
	5,245,622	09/14/1993	Jewell et al.			
	5,258,990	11/02/1993	Olbright et al.			
	5,262,360	11/16/1993	Holonyak, Jr. et al.			
	5,285,466	02/08/1994	Tabatabaie			
	5,293,392	03/08/1994	Shieh et al.			
	5,317,170	05/31/1994	Paoli			
	5,317,587	05/31/1994	Ackley et al.			
	5,325,386	06/28/1994	Jewell et al.			
,	5,331,654	07/19/1994	Jewell et al.			
	5,337,074	08/09/1994	Thornton			
	5,337,183	08/09/1994	Rosenblatt et al.		/	
	5,349,599	09/20/1994	Larkins			
	5,351,256	09/27/1994	Schneider et al.	/		
	5,359,447	10/25/1994	Hahn et al.	/		
	5,359,618	10/25/1994	Lebby et al.	/		
	5,363,397	11/08/1994	Collins et al.			
	5,373,520	12/13/1994	Shoji et al.			
	5,373,522	12/13/1994	Holonyak, Jr., et al.			
	5,376,580	12/27/1994	Kish et al.			
	5,386,426	01/31/1995	Stephens			
	5,390,209	02/14/1995	Vakhshoori			
	5,396,508	03/17/1995	Bour et al.			

Page 3 of 13

MOV 2 8 2003

Atty. Docket No.: H0004788 (1139.1138101)

Serial No.: 10/607,758

TRADE TO LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION

DISCLOSURE STATEMENT

Applicant: Jae-Hyun Ryou et al.

Filing Date:

Group Art:

June 27, 2003 unknown 2838

Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
TN	5,404,373	04/04/1995	Cheng			,
	5,412,678	05/02/1995	Treat et al.			
	5,412,680	05/02/1995	Swirhum et al.			/
	5,416,044	05/16/1995	Chino et al.			/
	5,428,634	06/27/1995	Bryan et al.			
	5,438,584	08/01/1995	Paoli et al.			
	5,446,754	08/29/1995	Jewell et al.			
	5,465,263	11/07/1995	Bour et al.			
	5,475,701	12/12/1995	Hibbs-Brenner	1		
	5,493,577	02/1996	Choquette et al.			/
	5,497,390	03/05/1996	Tanaka et al.			/
	5,513,202	04/30/1996	Kobayashi et al.		/	
	5,530,715	06/25/1996	Shieh et al.		/	
	5,555,255	09/10/1996	Kock et al.		-/	<del></del>
	5,557,626	09/17/1996	Grodinski et al.			
	5,561,683	10/01/1996	Kwon			
	5,567,980	10/22/1996	Holonyak, Jr. et al.			
	5,568,498	10/22/1996	Nilsson			
	5,568,499	10/22/1996	Lear			
	5,574,738	11/12/1996	Morgan			· · · · · · · · · · · · · · · · · · ·
	5,581,571	12/1996	Holonyak, Jr. et al.			
	5,586,131	12/17/1996	Ono et al.			
	5,590,145	12/31/1996	Nitta			
	5,598,300	01/28/1997	Magnusson et al.			
	5,606,572	02/25/1997	Swirhun et al.		<u> </u>	·

DISCLOSURE STATEMENT

MON 5 8 5003

Atty. Docket No.: H0004788 (1139.1138101)

Serial No.: 10/607,758

Page 4 of 13

THE PRADEMARY LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION

Applicant: Jae-Hyun Ryou et al.

Filing Date: June 27, 2003

Group Art: unknown 2828

Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
TN	5,625,729	04/29/1997	Brown			
	5,642,376	06/24/1997	Olbright et al.			/.
	5,645,462	07/08/1997	Banno et al.			
	5,646,978	07/08/1997	Kem et al.			
	5,648,978	07/15/1997	Sakata			
	5,679,963	10/21/1997	Klem et al.			
	5,692,083	11/25/1997	Bennett			
	5,696,023	12/09/1997	Holonyak, Jr., et al.			
	5,699,373	12/16/1997	Uchida et al.			
	5,712,188	01/27/1998	Chu et al.			
	5,726,805	03/10/1998	Kaushik, et al.			/
	5,727,013	03/10/1988	Botez et al.		/	
	5,727,014	03/10/1988	Wang et al.			
	5,774,487	06/30/1998	Morgan			
	5,778,018	07/07/1998	Yoshikawa et al.			
	5,781,575	07/14/1998	Nilsson	·		
	5,784,399	07/21/1998	Sun		1	· <u>-</u>
	4,790,733	08/04/1998	Smith et al.			
	5,805,624	09/08/1998	Yang et al.	/		
	5,818,066	10/06/1998	Duboz	/		
	5,828,684	10/27/1998	Van de Walle	/		
	5,838,705	11/17/1998	Shieh et al.			
	5,838,715	11/17/1998	Corzine et al.			
	5,892,784	04/06/1999	Tan et al.			
	5,892,787	04/06/1999	Tan et al.	/	-	

MOV 2 8 2003

Atty. Docket No.: H0004788 (1139.1138101) Serial No.: 10/607,758

Page 5 of 13

AND TO POR ARY

Applicant: Jae-Hyun Ryou et al.

#### LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT

Filing Date: Group Art:

June 27, 2003 unknown 2824

Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
N	5,896,408	04/20/1999	Corzine et al.			
	5,901,166	05/04/1999	Nitta et al.			/
	5,903,588	05/1999	Guenter et al.			/
	5,903,589	05/1999	Jewell			
	5,903,590	05/11/1999	Hadley et al.			
	5,908,408	06/1999	McGary et al.			
	5,936,266	08/10/1999	Holonyak, Jr. et al.			
	5,940,422	08/17/1999	Johnson			
	5,953,362	09/14/1999	Pamulapati et al.			
	5,978,401	11/02/1999	Morgan			
	5,978,408	11/1999	Thornton	·		
	5,995,531	11/30/1999	Gaw et al.			
	6,002,705	12/14/1999	Thornton		/	
	6,008,675	12/28/1999	Handa		/,	·
	6,014,395	01/11/2000	Jewell			
	6,043,104	03/28/2000	Uchida et al.			
	6,046,065	04/04/2000	Goldstein et al.		/	
	6,055,262	04/25/2000	Cox et al.		/	
	6,052,398	04/18/2003	Brillouet et al.	/		
	6,060,743	05/09/2000	Sugiyama et al.	/		
	6,078,601	06/20/2000	Smith			
	6,086,263	07/11/2000	Selli et al.			
	6,133,590	10/17/2000	Ashley et al.			
	6,144,682	11/07/2000	Sun	/		
7	6,154,480	11/28/2000	Magnusson et al.	/		

FORM PTO-1449 Page 6 of 13

Atty. Docket No.: H0004788 (1139.1138101)

Serial No.: 10/607,758

Applicant: Jae-Hyun Ryou et al.

LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT

Filing Date: June 27, 2003 Group Art: unknown 182

Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
-14	6,185,241	02/06/2001	Sun			/
	6,191,890	02/20/2001	Baets et al			
	6,208,681 B1	03/27/2001	Thorton			
	6,212,312	04/03/2001	Grann et al			
	6,238,944 B1	05/29/2001	Floyd			
	6,269,109 B1	07/31/2001	Jewell			
	6,297,068	10/02/2001	Thornton			7
	6,302,596	10/16/2001	Cohen et al.			
	6,339,496	01/15/2002	Koley et al.			
	6,369,403	04/09/2002	Holonyak, Jr.			
	6,372,533 B2	04/16/2002	Jayaraman et al.			
	6,392,257	05/21/2002	Ramdani et al.			
	6,410,941	06/25/2002	Taylor et al.			H
	6,411,638	06/25/2002	Johnson et al.			
	6,427,066	07/30/2002	Grube			
	6,455,879	09/24/2002	Ashley et al.			
	6,459,709	10/01/2002	Lo et al.			
	6,459,713	10/01/2002	Jewell			
	6,462,360	10/08/2002	Higgins, Jr. et al.			
	6,472,694	10/29/2002	Wilson et al.			
	6,477,285	11/05/2002	Shanley			
	6,487,230	11/26/2002	Boucart et al.			
	6,487,231	11/26/2002	Boucart et al.			
	6,490,311	12/03/2002	Boucart et al.			
	6,493,371	12/10/2002	Boucart et al.	1		

**FORM PTO-1449** Page 7 of 13

Atty. Docket No.: H0004788 (1139.1138101)

Serial No.: 10/607,758

FOR LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT

Applicant: Jae-Hyun Ryou et al.

Filing Date: June 27, 2003

Group Art: unkarown

Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
TN	6,493,372	12/10/2002	Boucart et al.			/
	6,493,373	12/10/2002	Boucart et al.			. /
	6,496,621	12/17/2002	Kathman et al.			. /
	6,498,358	12/24/2002	Lach et al.			
	6,501,973	12/31/2002	Foley et al.			
	6,515,308	02/04/2003	Kneissl et al.			
	6,535,541	03/18/2003	Boucart et al.			
	6,536,959	03/25/2003	Kuhn et al.			
	6,542,531	04/01/2003	Sirbu et al.			
	6,567,435	05/20/2003	Scott et al.	/		

#### FOREIGN PATENT DOCUMENTS

Exam Initi		Document No.	Date	Country	Translation Yes No
TN	V	JP 60123084	01/07/1985	ЛР	Abstract
	U	EP 0288184 A2	10/26/1988	EP	
	v	JP 02054981	02/23/1990	Л	Abstract
	C	JP 5299779	11/12/1993	JP	Abstract
	v	DE 4240706 A1	06/09/1994	DE	Abstract
	V	EP 0776076 A1	05/28/1997	EP	Abstract
	V	WO 98/57402	12/17/1998	PCT	

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

TN	Ĺ	Banwell et al., "VCSE Laser Transmitters for Parallel Data Links", <u>IEEE Journal of Quantum Electronics</u> , Vol. 29, No. 2, February 1993, pp. 635-644.
	L	Bowers et al., "Fused Vertical Cavity Lasers With Oxide Aperture", Final report for MICRO

	(O' 'E)		
FORM PTO-1449 Page 8 of 13	HW 3 8 3003 37	Atty. Docket No.: H0004788 (1139.1138101)	Serial No.: 10/607,758
•	Applicant: Jae-Hyun Ryou et al.		
LIST OF PATENTS AND PUBLICA	TIONS FOR		
APPLICANT'S INFORMAT  DISCLOSURE STATEME	Filing Date:	Group Art:	
		June 27, 2003	unknown 2828

•		
Th	٠٤	project 96-042, Industrial Sponsor: Hewlett Packard, 4 pages, 1996-97.
	<i>、</i>	Catchmark et al., "High Temperature CW Operation of Vertical Cavity Top Surface-Emitting Lasers", CLEO 1993, p. 138.
	./	Chemla et al., "Nonlinear Optical Properties of Semiconductor Quantum Wells", Optical Nonlinearities and Instabilities in Semiconductors, Academic Press, Inc., Copyright 1988, pp. 83-120.
	V	Choe, et al., "Lateral oxidation of AIAs layers at elevated water vapour pressure using a closed-chamber system," Letter to the Editor, Semiconductor Science Technology, 15, pp. L35-L38, August 2000.
	١	Choa et al., "High-Speed Modulation of Vertical-Cavity Surface-Emitting Lasers", <u>IEEE Photonics</u> <u>Technology Letter</u> , Vol. 3, No. 8, August 1991, pp. 697-699.
	1	Choquette et al., "High Single Mode Operation from Hybrid Ion Implanted/Selectively Oxidized VCSELs", 200 IEEE 17th International Semiconductor Laser Conference, Monterrey, CA pages 59-60.
	į	Choquette et al., "Lithographically-Defined Gain Apertures Within Selectively Oxidized VCSELs", paper CtuL6, Conference on Lasers and Electro-Optics, San Francisco, California (2000).
	1	Choquette, et al., "VCSELs in information systems: 10Gbps-1 oxide VCSELs for data communication", Optics In Information Systems, Vol. 12, No. 1, page 5, SPIE International Technical Group Newsletter, April 2001.
	_	Chua, et al., "Low-Threshold 1.57- $\mu$ m VC-SEL's Using Strain-Compensated Quantum Wells and Oxide/Metal Backmirror," IEEE Photonics Technology Letters, Vol 7, No. 5, pp. 444-446, May 1995.
	1	Chua, et al., "Planar Laterally Oxidized Vertical-Cavity Lasers for Low-Threshold High-Density Top-Surface-Emitting Arrays," IEEE Photonics Technology Letters, Vol. 9, No. 8, pp. 1060-1062, August 1997.
		Cox, J. A., et al., "Guided Mode Grating Resonant Filters for VCSEL Applications", <u>Proceedings of the SPIE</u> , The International Society for Optical Engineering, Diffractive and Holographic Device Technologies and Applications V, San Jose, California, January 28-29, 1998, Vol. 3291, pages 70-71.
	•	Farrier, Robert G., "Parametric control for wafer fabrication: New CIM techniques for data analysis," Solid State Technology, pp. 99-105, September 1997.
	/	Fushimi, et al., "Degradation Mechanism in Carbon-doped GaAs Minority-carrier Injection Devices," 34 <sup>th</sup> Annual IRPS Proceedings, Dallas, TX., April 29-May 2, 1996, 8 pages.
	(	G. G. Ortiz, et al., "Monolithic Integration of In0.2 GA0.8As Vertical Cavity Surface-Emitting Lasers with Resonance-Enhanced Quantum Well Photodetectors", <u>Electronics Letters</u> , Vol. 32, No. 13, June 20, 1996, pp. 1205-1207.
	1	G. Shtengel et al., "High-Speed Vertical-Cavity Surface-Emitting Lasers", Photon. Tech. Lett., Vol.

/0			
	Atty. Docl	ket No.: Serial No.:	
FORM PTO-1449 Hoy 2 8 201	μ H0004788	10/607,758	
Page 9 of 13	F (1139.113	8101)	
. TRADEN	Applicant:	: Jae-Hyun Ryou et al.	
LIST OF PATENTS AND PUBLICATIONS FO			
APPLICANT'S INFORMATION	Eiling Dat	e: Group Art:	
DISCLOSURE STATEMENT	Filing Date		100

- N		5, No. 12, pp. 1359-1361 (December 1993).
TN		Geib, et al., "Comparison of Fabrication Approaches for Selectively Oxidized VCSEL Arrays," Proceedings of SPIE, Vol. 3946, pages 36-40, 2000.
	1	Graf, Rudolph, Modern Dictionary of Electronics, 6 <sup>th</sup> ed., Indiana: Howard W. Sams & Company, 1984, p. 694.
	1	Guenter et al., "Reliability of Proton-Implanted VCSELs for Data Communications", Invited paper SPIE, Vol. 2683, OE LASE 96; Photonics West: Fabrication, Testing and Reliability of Semiconductor Lasers, (SPIE, Bellingham, WA 1996).
	/	Guenter, et al., "Commercialization of Honeywell's VCSEL technology: further developments," Proceedings of the SPIE, Vol. 4286, GSPIE 2000, 14 pages.
	,	Hadley et al., "High-Power Single Mode Operation from Hybrid Ion Implanted/Selectively Oxidized VCSELs", 13th Annual Meeting IEEE Lasers and Electro-Optics Society 2000 Annual Meeting (LEOS 2000), Rio Grande, Puerto Rico, pages 804-805.
	j	Hawthorne, et al., "Reliability Study of 850 nm VCSELs for Data Communications," IEEE, pages 1-11, May 1996.
	,	Herrick, et al., "Highly reliable oxide VCSELs manufactured at HP/Agilent Technologies," Invited Paper, Proceedings of SPIE Vol. 3946, pp. 14-19, 2000.
	J	Hibbs-Brenner et al., "Performance, Uniformity and Yield of 850nm VCSELs Deposited by MOVPE", IEEE Phot. Tech. Lett., Vol. 8, No. 1, pp. 7-9, January 1996.
	1	Hideaki Saito, et al., "Controlling polarization of quantum-dot surface-emitting lasers by using structurally anisotropic self-assembled quantum dots," American Institute of Physics, Appl, Phys. Lett. 71 (5), pages 590-592, August 4, 1997.
	<i>y</i>	Hornak et al., "Low-Termperature (10K-300K) Characterization of MOVPE-Grown Vertical-Cavity Surface-Emitting Lasers", Photon. Tech. Lett., Vol. 7, No. 10, pp. 1110-1112, October 1995
	1	Huffaker et al., "Lasing Characteristics of Low Threshold Microcavity Layers Using Half-Wave Spacer Layers and Lateral Index Confinement", <u>Appl. Phys. Lett.</u> , Vol. 66, No. 14, pp.1723-1725, April 3, 1995.
	J	Jewell et al., "Surface Emitting Microlasers for Photonic Switching & Intership Connections", Optical Engineering, Vol. 29, No. 3, pp. 210-214, March 1990.
	./	Jiang et al., "High-Frequency Polarization Self-Modulation in Vertical-Cavity Surface-Emitting Lasers", Appl. Phys. Letters, Vol. 63, No. 26, December 27, 1993, pp. 2545-2547.
	/	K.L. Lear et al., "Selectively Oxidized Vertical Cavity Surface-Emitting Lasers with 50% Power Conversion Efficiency", Elec. Lett., Vol. 31, No. 3 pp. 208-209, February 2, 1995.
	1	Kash, et al., "Recombination in GaAs at the AIAs oxide-GaAs interface," Applied Physics Letters Vol. 67, No.14, pp. 2022-2024, October 2, 1995.
1	1	Kishino et al., "Resonant Cavity-Enhanced (RCE) Photodetectors", IEEE Journal of Quantum

.

Page 10 of 13

HOV 2 8 2003

Atty. Docket No.: H0004788 (1139.1138101) Serial No.: 10/607,758

LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION
DISCLOSURE STATEMENT

Applicant: Jae-Hyun Ryou et al.

Filing Date: Group Art:

June 27, 2003 unknown 1804

TH	Τ.	Electronics, Vol. 27, No. 8, pp. 2025-2034.
₩.		Koley B., et al., "Dependence of lateral oxidation rate on thickness of AIAs layer of interest as a current aperture in vertical-cavity surface-emitting laser structures", Journal of Applied Physics, Vol. 84, No. 1, pages 600-605, July 1, 1998.
	/	Kuchibhotla et al., "Low-Voltage High Gain Resonant_Cavity Avalanche Photodiode", <u>IEEE Phototonics Technology Letters</u> , Vol. 3, No. 4, pp. 354-356.
	1	Lai et al., "Design of a Tunable GaAs/AlGaAs Multiple-Quantum-Well Resonant Cavity Photodetector", IEEE Journal of Quantum Electronics, Vol. 30, No. 1, pp. 108-114.
	~	Lee et al., "Top-Surface Emitting GaAs Four-Quantum-Well Lasers Emitting at 0-85 um", Electronics Letters, Vol. 24, No. 11, May 24, 1990, pp. 710-711.
	1	Lehman et al., "High Frequency Modulation Characteristics of Hybrid Dielectric/AlGaAs Mirror Singlemode VCSELs", Electronic Letters, vol. 31, No. 15, July 20, 1995, pp. 1251-1252.
	1	Maeda, et al., "Enhanced Glide of Dislocations in GaAs Single Crystals by Electron Beam Irradiation," Japanese Journal of Applied Physics, Vol. 20, No. 3, pages L165-L168, March 1981.
	1	Magnusson, "Integration of Guided-Mode Resonance Filters and VCSELs", Electo-Optics Research Center, Department of Electrical Engineering, University of Texas at Arlington, May 6, 1997.
	1	Martinsson et al., "Transverse Mode Selection in Large-Area Oxide-Confined Vertical-Cavity Surface-Emitting Lasers Using a Shallow Surface Relief", <u>IEEE Photon. Technol. Lett.</u> , 11(12), 1536-1538 (1999).
	-	Miller et al., "Optical Bistability Due to Increasing Absorption", Optics Letters, Vol. 9, No. 5, May 1984, pp. 162-164.
	1	Min Soo Park and Byung Tae Ahn, "Polarization control of vertical-cavity surface-emitting lasers by electro-optic birefringence," Applied Physics Letter, Vol. 76, No. 7, pages 813-815, February 14, 2000.
	1	Morgan et al., "200 C, 96-nm Wavelength Range, Continuous-Wave Lasing from Unbonded GaAs MOVPE-Grown Vertical Cavity Surface-Emitting Lasers", <u>IEEE Photonics Technology Letters</u> , Vol. 7, No. 5, May 1995, pp. 441-443.
1	/	Morgan et al., "High-Power Coherently Coupled 8x8 Vertical Cavity Surface Emitting Laser Array", Appl. Phys Letters, Vol 61, No. 10, September 7, 1992, pp. 1160-1162.
	1	Morgan et al., "Hybrid Dielectric/AlGaAs Mirror Spatially Filtered Vertical Cavity Top-Surface Emitting Laser", Appl. Phys. Letters, Vol. 66, No. 10, March 6, 1995, pp. 1157-1159.
	/	Morgan et al., "Novel Hibrid-DBR Single-Mode Controlled GaAs Top-Emitting VCSEL with Record Low Voltage", 2 pages, dated prior to December 29, 2000.
	1	Morgan et al., "One Watt Vertical Cavity Surface Emitting Laser", <u>Electron. Lett.</u> , Vol. 29, No. 2, pp. 206-207, January 21, 1993
	1	Morgan et al., "Producible GaAs-based MOVPE-Grown Vertical-Cavity Top-Surface Emitting

Page 11 of 13	FORM PTO-1449	NOV 2 8 2003	Atty. Docket No.: H0004788 (1139.1138101)	Serial No.: 10/607,758
•		6 MINEMOR	Applicant: Jae-Hyun Ryo	u et al.

LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT

Filing Date: Group Art:

June 27, 2003 unknown 252

TH		Lasers with Record Performance", Elec. Lett., Vol. 31, No. 6, pp. 462-464, March 16, 1995.
TN	.′	Morgan et al., "Progress and Properties of High-Power Coherent Vertical Cavity Surface Emitting Laser Arrays", <u>SPIE</u> , Vo. 1850, January 1993, pp. 100-108.
	,	Morgan et al., "Progress in Planarized Vertical Cavity Surface Emitting Laser Devices and Arrays", SPIE, Vol. 1562, July 1991, pp. 149-159.
		Morgan et al., "Spatial-Filtered Vertical-Cavity Top Surface-Emitting Lasers", CLEO, 1993, pp. 138-139.
	1	Morgan et al., "Submilliamp, Low-Resistance, Continuous-Wave, Single-Mode GaAs Planar Vertical-Cavity Surface Emitting Lasers", Honeywell Technology Center, June 6, 1995.
	/	Morgan et al., "Transverse Mode Control of Vertical-Cavity Top-Surface Emitting Lasers", <u>IEEE Photonics Technology Letters</u> , Vol. 4, No. 4, April 1993, pp. 374-377.
	1	Morgan et al., "Vertical-cavity surface-emitting laser arrays", Invited Paper, <u>SPIE</u> , Vol. 2398, February 6, 1995, pp. 65-93.
	1	Morgan et al., "Vertical-cavity surface emitting lasers come of age, Invited paper, SPIE, Vol. 2683, 0-8194-2057, March 1996, pages 18-29.
	1	Morgan, "High-Performance, Producible Vertical Cavity Lasers for Optical Interconnects", <u>High Speed Electronics and Systems</u> , Vol. 5, No. 4, December 1994, pp. 65-95.
	ı	Naone R.L., et al., "Tapered-apertures for high-efficiency miniature VCSELs", LEOS newsletter, Vol. 13, No. 4, pages 1-5, August 1999.
	1	Nugent et al., "Self-Pulsations in Vertical-Cavity Surface-Emitting Lasers", Electronic Letters, Vol. 31, No. 1, January 5, 1995, pp. 43-44.
	(	Oh, T. H. et al., "Single-Mode Operation in Antiguided Vertical-Cavity Surface-Emitting Laser Using a Low-Temperature Grown AlGaAs Dielectric Aperture", <u>IEEE Photon. Technol. Lett.</u> 10(8), 1064-1066 (1998).
	l	Osinski, et al., "Temperature and Thickness Dependence of Steam Oxidation of AIAs in Cylindrical Mesa Structure," IEEE Photonics Technology Letters, Vol. 13, No. 7, pages 687-689, July 2001.
	1	Peck, D. Stewart, "Comprehensive Model for Humidity Testing Correlation, IEEE/IRPS, pp. 44-50, 1986.
	(	Ries, et al., "Visible-spectrum ( $\lambda$ =650nm) photopumped (pulsed, 300 K) laser operation of a vertical-cavity AIAs-AIGaAs/InAIP-InGaP quantum well heterostructure utilizing native oxide mirrors," Applied Physics Letters, Vol. 67, No. 8, pages 1107-1109, August 21, 1995.
	(	S.S. Wang and R. Magnusson, "Multilayer Waveguide-Grating Filters", Appl. Opt., Vol. 34, No. 14, pp. 2414-20, 1995.
	1	S.S. Wang and R. Magnusson, "Theory and Applications of Guided-Mode Resonance Filters", Appl. Opt., Vol. 32, No. 14, pp. 2606-13, 1993.

Atty. Docket No.: H0004788 (1139.1138101)	Serial No.: 10/607,758
Applicant: Jae-Hyun Ryou	et al.
	H0004788

# LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT

Filing Date: Group Art:

June 27, 2003 unknown V

	•		
	TN	• ~	Sah, et al., "Carrier Generation and Recombination in P-N Junctions and P-N Junction Characteristics," Proceedings of the IRE, pages 1228-1243, September, 1957.
_	1	. ,	Schubert, "Resonant Cavity Light-Emitting Diode", <u>Appl. Phys. Lett.</u> , Vol. 60, No. 8, pp. 921-923, February 24, 1992.
		1	Shi, et al., "Photoluminescence study of hydrogenated aluminum oxide-semiconductor interface," Applied Physics Letters, Vol. 70, No. 10, pages 1293-1295, March 10, 1997.
		v	Smith, R.E. et al., "Polarization-Sensitive Subwavelength Antireflection Surfaces on a Semiconductor for 975 NM, Optics Letters, Vol. 21, No. 15, August 1, 1996, pp. 1201-1203.
		J	Spicer, et al., "The Unified Model For Schottky Barrier Formation and MOS Interface States in 3-5 Compounds," Applications of Surface Science, Vol. 9, pages 83-01, 1981.
		J	Suning Tang et al., "Design Limitations of Highly Parallel Free-Space Optical Interconnects Based on Arrays of Vertical Cavity Surface-Emitting Laser Diodes, Microlenses, and Photodetectors", Journal of Lightwave Technology, Vol. 12, No. 11, November 1, 1994, pp. 1971-1975.
		1	T. Mukaihara, "Polarization Control of Vertical-cavity Surface-Emitting Lasers by a Birefringent Metal/Semiconductor Polarizer Terminating a Distributed Bragg Reflector," Tokyo Institute of Technology, Precision and Intelligence Laboratory, pages 183-184.
		1	Tao, Andrea, "Wet-Oxidation of Digitally Alloyed AIGaAs," National Nanofabrication Users Network, Research Experience for Undergraduates 2000, 2 pages.
		1	Tautm, et al., "Commercialization of Honeywell's VCSEL Technology, Published in Proceedings fo the SPIE, Vol. 3946, SPI, 2000, 12 pages.
		J	Tshikazu Mukaihara, et al., "A Novel Birefringent Distributed Bragg Reflector Using a Metal/Dielectric Polarizer for Polarization Control of Surface-Emitting Lasers," Japan J. Appl. Phys. Vol. 33 (1994) pages L227-L229, Part 2, No. 2B, February 15, 1994.
		1	Tu, Li-Wei et al., "Transparent conductive metal-oxide contacts in vertical-injection top-emitting quantum well lasers", Appl. Phys. Lett. 58 (8) 25 February 1991, pages 790-792.
		!	Wieder, H.H., "Fermi level and surface barrier of Ga <sub>x</sub> In <sub>1-x</sub> As alloys," Applied Physics Letters, Vol. 38, No. 3, pages 170-171, February 1, 1981.
		/	Wipiejewski, et al., "VCSELs for datacom applications," Invited Paper, Part of the SPIE Conference on Vertical-Cavity Surface-Emitting Lasers III, San Jose, California, SPIE Vol. 3627, pages 14-22, January 1999.
		(	Y. M. Yang et al., "Ultralow Threshold Current Vertical Cavity Surface Emitting Lasers Obtained with Selective Oxidation", <u>Elect. Lett.</u> , Vol. 31, No. 11, pp. 886-888, May 25, 1995.
		1	Yablonovitch et al., "Photonic Bandgap Structures", <u>J. Opt. Soc. Am. B.</u> , Vol. 10, No. 2, pp. 283-295, February 1993.
		)	Young et al., "Enhanced Performance of Offset-Gain High Barrier Vertical-Cavity Surface-Emitting Lasers", <u>IEEE J. Quantum Electron.</u> , Vol. 29, No. 6, pp. 2013-2022, June 1993.

Page 13 of 13 FORM PTO-1449 FORM PTO-1449 FORM PTO-1449	Atty. Docket No.: H0004788 (1139.1138101)	Serial No.: 10/607,758
LIST OF PATENTS AND PUBLICATION OF PATENTS AND P	Applicant: Jae-Hyun Ryou et al.	
APPLICANT'S INFORMATION DISCLOSURE STATEMENT	Filing Date: June 27, 2003	Group Art:

TN	, r	U.S. Patent Application Serial No. 09/751,422, filed December 29, 2000, entitled "Resonant Reflector for Use with Optoelectronic Devices".
	, v	U.S. Patent Application Serial No. 09/751,423, filed December 29, 2000, entitled "Spatially Modulated Reflector for an Optoelectronic Device".

EXAMINER: DATE CONSIDERED: 55

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.